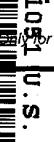


|  |  |   |
|--|--|---|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>For new nonprovisional applications under 37 CFR 1.53(b)</small>   |  | Attorney Docket No. <b>211456US0</b><br>First Inventor or Application Identifier <b>Yoshinori HAMA, et al.</b><br>Title <b>PROCESS FOR PREPARING AQUEOUS DISPERSION OF PIGMENT-CONTAINING POLYMER PARTICLES</b> |
| <br><b>U.S.P.T.O.</b>   |  | Assignee Name: <b>Kao Corporation</b><br>Assignee Address: <b>14-10, 1-chome, Kayaba-cho, Nihonbashi, Chuo-ku, Tokyo, Japan</b>   |
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents   |  | <b>ADDRESS TO:</b> Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, DC 20231   |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17)<br>(Submit an original and a duplicate for fee processing)  |  | <b>ACCOMPANYING APPLICATION PARTS</b>   |
| 2. <input checked="" type="checkbox"/> Specification      Total Sheets <b>29</b>   |  | 7. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))   |
| 3. <input type="checkbox"/> Formal Drawing(s)<br>(35 U.S.C. 113)      Total Sheets <b>     </b>  |  | 8. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76  |
| 4. <input checked="" type="checkbox"/> Oath or Declaration      Total Pages <b>4</b> <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Newly executed (original)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. §1.63(d))<br/> (for continuation / divisional w/ box 17 completed) <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> DELETION OF INVENTOR(S)<br/> Signed statement attached deleting inventor(s) named in<br/> the prior application, see 37 C.F.R. §1.63(d)(2) and<br/> 1.33(b).</li> </ul> </li> </ul> |  | 9. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney   |
| 5. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  |  | 10. <input type="checkbox"/> English Translation Document ( <i>if applicable</i> )  |
| 6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br><i>(if applicable, all necessary)</i> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li> <li>b. Specification or Sequence Listing on: <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> Paper</li> </ul> </li> <li>c. <input type="checkbox"/> Statements verifying identity of above copies</li> </ul>   |  | 11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations   |
| 7. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:<br><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)      of prior application no.:   |  | 12. <input type="checkbox"/> Preliminary Amendment  |
| Prior application information: Examiner: _____ Group Art Unit: _____   |  | 13. <input checked="" type="checkbox"/> White Advance Serial No. Postcard   |
| For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.  |  | 14. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s) (1)<br><i>(if foreign priority is claimed)</i>   |
| 18. Amend the specification by inserting before the first line the sentence:   |  | 15. <input type="checkbox"/> Applicant claims small entity status.<br>See 37 CFR 1.27   |
| <input type="checkbox"/> This application is a <input type="checkbox"/> Continuation <input type="checkbox"/> Division <input type="checkbox"/> Continuation-in-part (CIP)<br>of application Serial No. _____ Filed on _____   |  | 16. <input checked="" type="checkbox"/> Other: Notice of Priority   |
| <input type="checkbox"/> Which was published in English  |  |   |
| <input type="checkbox"/> Which was not published in English  |  |   |
| <input type="checkbox"/> This application claims priority of provisional application Serial No. _____ Filed _____  |  |   |
| <b>19. CORRESPONDENCE ADDRESS</b>  |  |   |
| <br><b>22850</b><br>(703) 413-3000<br>FACSIMILE: (703) 413-2220   |  |   |

|            |   |                   |         |
|------------|---|-------------------|---------|
| Name:      | Norman F. Oblon   | Registration No.: | 24,618  |
| Signature: |  | Date:             | 7/16/01 |
| Name:      |  | Registration No.: |         |

C. RYAN MCCARTHY  
Registration Number 21,124

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Yoshinori HAMA, et al.

SERIAL NO: New Application

FILING DATE: Herewith

FOR: PROCESS FOR PREPARING AQUEOUS DISPERSION OF PIGMENT-CONTAINING POLYMER PARTICLES

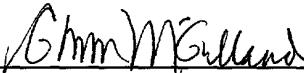
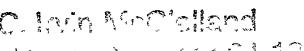
## FEE TRANSMITTAL

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

| FOR   | NUMBER FILED | NUMBER EXTRA | RATE                        | CALCULATIONS |
|---|--------------|--------------|-----------------------------|--------------|
| TOTAL CLAIMS  | 15 - 20 =    | 0            | x \$18 =                    | \$0.00       |
| INDEPENDENT CLAIMS  | 5 - 3 =      | 2            | x \$80 =                    | \$160.00     |
| <input checked="" type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable) |              |              | + \$270 =                   | \$270.00     |
| <input type="checkbox"/> LATE FILING OF DECLARATION                           |              |              | + \$130 =                   | \$0.00       |
|   |              |              | BASIC FEE                   | \$710.00     |
|   |              |              | TOTAL OF ABOVE CALCULATIONS | \$1,140.00   |
| <input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY          |              |              |                             | \$0.00       |
| <input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE                       |              |              | + \$130 =                   | \$0.00       |
| <input type="checkbox"/> RECORDATION OF ASSIGNMENT                            |              |              | + \$40 =                    | \$0.00       |
|   |              |              | TOTAL                       | \$1,140.00   |

- Please charge Deposit Account No. 15-0030 in the amount of A duplicate copy of this sheet is enclosed.
- A check in the amount of **\$1.140.00** to cover the filing fee is enclosed.
- The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030.  
A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLOON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.Norman F. Oblon  
Registration No. 24,618Date: 7/16/01**22850**Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 10/00)  
C. Iain McClelland  
Registration No. 24,618